



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/920,433	08/29/1997	KATHRYN A. ROSENTHAL	43-97-001	8464

7590
David G. Wille, Esq.
Baker Botts L.L.P.
2100 Ross Avenue
Suite 600
Dallas, TX 75201-2980

02/27/2002

DOCKETED

*Amendment Due:
May 27, 2002*

014203-1133

EXAMINER

THOMSON, WILLIAM D

ART UNIT

PAPER NUMBER

2123

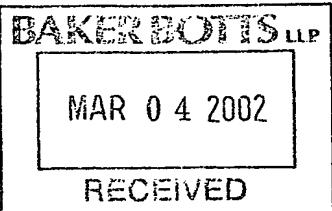
DATE MAILED: 02/27/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

RECEIVED

MAY 08 2006

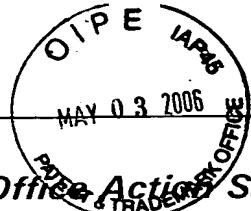
Technology Center 2100



Docket _____ ✓ Wrapper _____

RVF Docketed _____ N/A _____

Reference(s) _____



Office Action Summary

Application No. 08/920,433	Applicant(s) Rosenthal
Examiner William Thomson	Art Unit 2123

– The MAILING DATE of this communication appears on the cover sheet with the correspondence address –

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

RECEIVED

MAY 08 2006

Status

1) Responsive to communication(s) filed on Nov 13, 2001

2a) This action is FINAL. 2b) This action is non-final.

3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

4) Claim(s) 1-7 and 9-21 is/are pending in the application.

4a) Of the above, claim(s) _____ is/are withdrawn from consideration.

5) Claim(s) _____ is/are allowed.

6) Claim(s) 1-7 and 9-21 is/are rejected.

7) Claim(s) _____ is/are objected to.

8) Claims _____ are subject to restriction and/or election requirement.

Technology Center 2100

Disposition of Claims

9) The specification is objected to by the Examiner.

10) The drawing(s) filed on _____ is/are objected to by the Examiner.

11) The proposed drawing correction filed on _____ is: a) approved b) disapproved.

12) The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

13) Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

a) All b) Some* c) None of:

1. Certified copies of the priority documents have been received.
2. Certified copies of the priority documents have been received in Application No. _____.
3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

*See the attached detailed Office action for a list of the certified copies not received.

14) Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

15) Notice of References Cited (PTO-892) 18) Interview Summary (PTO-413) Paper No(s). _____

16) Notice of Draftsperson's Patent Drawing Review (PTO-948) 19) Notice of Informal Patent Application (PTO-152)

17) Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____ 20) Other: _____

Art Unit: 2123

DETAILED ACTION

A. Summary of Prosecution:

Request for Continued Examination

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 11/13/01 has been entered.
2. RCE has been filed to continue the prosecution.
3. Applicant has provided no amendments to claims 1, 7, and 9-19.
4. Claim 8 has been canceled. New claims are presented as claims 20 and 21.
5. Applicant has amended the figures and specification to coincide with the claims.
6. Claims 1-7, 9-21 have been examined and rejected.

B. Objections to the Specification and Claims:

Specification

7. The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed. Specifically, the title is currently directed to a family of devices. Examiner does not agree and will change the title if there comes a time for allowance of the instant invention.

Art Unit: 2123

8. Applicant has overcome the new matter objection. Examiner has removed the new matter objection. This has been based on Applicant's response and request for reconsideration after final, paper #16. However, this amendment provides no more enablement to the specification than that which was ordinarily taught within the original specification since this was drawn from the claim language as ordinarily filed.

Drawings

9. Applicant has overcome the objection to the drawings, see paper #16. The proposed drawing correction and/or the proposed substitute sheets of drawings, filed on February 27, 2001 have been approved. However, they present only that which was disclosed within the claims as ordinarily filed and provide no more enablement or teaching than the claims as filed with the original specification as filed.

C. Claim Interpretation and Definitions

Preamble of the Claims

10. The preamble of the claims presented for examination have not been given patentable weight. Appropriate weight is given to limitations recited in the body of the claim that are needed for the purpose of antecedence. "A mere statement of purpose or intended use in the preamble of a claim need not be considered in finding anticipation; however, it must be considered if the

Art Unit: 2123

language of a preamble is necessary to give meaning to the claim" *Diversitech Corp. v. Century Steps, Inc.*, 7 USPQ2d 1315 (Fed. Cir. 1988); *In re Stencil*, 4 USPQ2d 1071 (Fed. Cir. 1987)

Claim Interpretation

11. Examiner has given the broadest reasonable interpretation to the Applicant's claim language. As such, Examiner is providing a number of terms as defined in the art and used to interpret Applicant's claim language. Examiner is interpreting the following terms in light of the Applicant's specification and the well known definitions of the prior art teachings. An Applicant can be her own lexicographer. While applicant may be his or her own lexicographer, a term in a claim may not be given a meaning repugnant to the usual meaning of that term, *In re Hill*, 161 F.2d 367, 73 USPQ 482 (CCPA 1947). Examiner has used Applicant's definitions and those which are well known and accepted meanings in the art to provide a basis for the relevance of specific rejected limitations in view of prior art known made of record. Limitations from the specification are not read into the claims. *In re Van Guens*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

Definitions

Community: May be business, organization, association or any other type of grouping having a plurality of members. *Applicant's specification*.

Art Unit: 2123

Member: Members may be persons, animals, objects or any other type of item of a community.

Applicant's specification.

Relationship: The state of being related or interrelated. The relation connecting or binding participants in a relationship. A state of affairs existing between those having relations or dealings. An association of information and/or data. *Webster's Collegiate Dictionary, 10th ed.*

Assignment: The act of being assigned. A position, post , or office to which one is assigned. A special task or amount of work assigned or undertaken as if assigned by authority. Transfer of *property. Webster's Collegiate Dictionary, 10th ed.*

Access Privileges: Access privileges may be automatically granted base on the relationship when a relationship table is interrogated by an application that may activate an assignment. The assignment is approved then activated. The relationship and assignment provide the basis for the access level or privilege level. Limited access privileges may be a subset of access privileges of the administrative manager. Privileges may be varied for administrative and/or work assignment managers. Privileges, relationships and assignments are *stored. Applicant's specification*

Manager: A person responsible for the actions of a member within a group. Managers may have disparate access privileges based on their position to access member information. Managers can

Art Unit: 2123

change their position in the organization(s). Access privileges can also change. Managers have various levels of access to member information based on their position in an organization(s). Manager is a user with different levels of access than other users. *Applicant's specification, Well Known in the Art.*

Disparate access privileges: Different relationships may provide the managers with disparate access privileges to records of members reporting to managers. In a community a member may be administratively assigned to a position of an organization A and be work assigned to an additional position of another organization B. The member is reporting to two different managers in two different organizations. Manager A has administrative responsibility for the member, while Manager B has work assignment responsibility. Manager A has a higher level of access to the member's information than the access level afforded Manager B. A manager is a user of the system with specific access privileges. *Applicant's specification, Well Known in the Art.*

F. FORMAL PRIOR ART REJECTION(s) and RESPONSES

Response to Arguments

12. Applicant's arguments filed 10/23/01 and 11/13/01 have been fully considered. This response has been necessitated by Applicant's amendments and arguments. Applicant's arguments regarding the prior art of record are simply not persuasive. Examiner's immediate

Art Unit: 2123

supervisor is Kevin Teska. Mr. Teska can be reached at 703-305-9704. Please feel free to contact him regarding this case.

Specific Response to Arguments and Amendments

13. Applicant in reviewing the specification, should note that the term/phrase "community" is by her own definition a "group[ing]". The claims are read in light of the specification, limitations have not been read into the claims. When a term/phrase is ambiguous, such as "community" in the context of the claims, the Examiner must go to the specification to distill what Applicant is actually intending to claim as her invention. Examiner would like to point out to Applicant that the claim interpretations were indeed recited directly from the specification and from which both enablement and support have been drawn. Perhaps Applicant should review the specification to actually determine what she is attempting to cover with the presented claims that must be novel and patentably distinguishable over the prior art of record. The rejection is clear to the issues at hand. However, to date, no specific limitation has been shown to be missing from the prior art teachings. Apparently the Applicant must not be clear on the usage of groups as it pertains to access privileges and the associated role or position of members of the group. It is not the job of the examiner to educate the Applicant, especially knowing the skill level of the Applicant in the art of access privilege control.

Art Unit: 2123

14. Examiner appreciates Applicant directing him to the fact that each and every limitation must be taught, either expressly or inherently [sic] within the prior art used to reject the claims presented. The prior art asserted is not overcome because the prior art includes extra features that may not be disclosed within Applicant's specification. Each and every limitation is expressly or inherently taught within the prior art asserted. Mere attorney argument in the absence of evidence is simply not persuasive. As can be clearly seen in the rejections of the claims, note sections on page 15 et seq. of paper # 14, that the claims in their entirety have been rejected. This was based on both proper analysis and Applicant's own admittance that the prior art clearly teaches the claimed invention. In two years of prosecution, Applicant has yet to distinguish her invention over the well known standard known as RBAC and the integral prior art teachings of multilevel (also known as hierarchical) access control. No limitation recited within the claims has been overlooked. The response section of an Office Action is used to respond to Applicant's specific arguments and possibly help guide them into claiming an invention not yet disclosed in the prior art teachings. Nothing in the prior Office Actions should have been construed as the Examiner only partially or selectively interpreting, overly simplifying or dissecting the claims for piecemeal rejection of the claims. Each and every claim and related limitation in its entirety has been examined and rejected based on the merits.

15. In regard to the rejection under 35 U.S.C. 112 1st para., Examiner has made a proper factual finding by applying all the issues as outlined in MPEP 2164. Applicant is respectfully

Art Unit: 2123

directed to further review MPEP § 2164.08 (scope or breadth of the claims), § 2164.05(a) (nature of the invention and state of the prior art), § 2164.05(b) (level of one of ordinary skill), § 2164.03 (level of predictability in the art and amount of direction provided by the inventor), § 2164.02 (the existence of working examples) and § 2164.06 (quantity of experimentation needed to make or use the invention based on the content of the disclosure).” Applicant has not provided a working example of the alleged invention. Examiner has provided more than adequate inquiry to Applicant to provide anything that might show enablement with no success. Examiner reiterates that the mere statement that the invention “automatically providing... access privileges” does not provide either enablement or a proper written description of these limitations.

As has been previously pointed out by applicant the fact that the instant invention performs these access privileges automatically is a major part of the invention, essential to its success and operation. However, Applicant still can not go to the specification and pull out any relative teaching that would support this very important aspect of her invention. Applicant is required to file the specification with an appropriate amount of specificity to enable one to reduce the claimed invention to practice. This burden has yet to be met. Mere attorney argument in the absence of evidence is simply not persuasive.

However, on the other hand, since Applicant has conceded to the fact that such systems are indeed so well known that no substantive disclosure is needed, then the Examiner kindly welcomes this admittance. As can be openly seen in the prior art teachings Applicant’s claimed invention has been widely implemented and therefore is very well established and old in the arts.

Art Unit: 2123

Therefore, by Applicants own admittance, paper 20, the inventive aspect of automatically providing access privileges is well known. Examiner, based on Applicant's prior arguments (paper 13), had believed that there might have been some aspect of this feature that was not explicitly taught in the prior art, now it is clear that this is not the case. Since Applicant has stated on the record that the prior art of record shows how well known this feature is, the Examiner will remove the rejection since he does agree that based on the level of skill in the art, the predictability of the art and that which is well known in the art is all that is in fact recited in these limitations. However, Examiner disagrees with any statement that the specification provides a work that was actually conducted or results actually achieved. Lastly, Applicants could not provide a modicum of code to substantiate either a reduction or working model.

16. The prior art explicitly teaches the claimed limitations and more. There appears to be only two distinctions that Applicant has raised over the prior art teachings (pages 4, 6, 9, 13 and 16). The first is that the prior art references do not teach "automatically" providing access privileges. This is an interesting approach since neither does Applicant's specification. However, in the case of trying to delineate a difference based solely on "automatic" versus "manual" there is no patentable distinction between the them. In other words the mere automation of a manual process is not patentable by it self. Further, Applicant has not provided enablement for "automatically" providing access privileges, except for that which she know admits has been well known in the arts. Second is the ability to assign members with multi-positions and the ability to reassign

Art Unit: 2123

access rights. This is usually called delegation or delegating the role or access privilege (paper 20). The prior art expressly teaches both these features. Neither of these issues provide any patentable distinction over the prior art teachings. The phrase “manager”, for example, has been called out by Applicant as having some novel aspect in the context of claims, however, the prior art explicitly teaches managers, hierarchical systems and the like that have access privileges to records of members and further allow for managers or members to delegate access privileges so as to let them share a resource (also known as an object, file, device and many other computer related systems).

MPEP explicitly states: “A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability” and “An application should not be allowed, unless and until issues pertinent to patentability have been raised and resolved in the course of examination and prosecution, since otherwise the resultant patent would not justify the statutory presumption of validity (35 U.S.C. 282), nor would it “strictly adhere” to the requirements laid down by Congress in the 1952 Act as interpreted by the Supreme Court. The standard to be applied in all cases is the “preponderance of the evidence” test. In other words, an examiner should reject a claim if, in view of the prior art and evidence of record, it is more likely than not that the claim is unpatentable “ and “In rejecting claims for want

Art Unit: 2123

of novelty or for obviousness, the examiner must cite the best references at his or her command. When a reference is *complex* or shows or describes inventions other than that claimed by the applicant, the particular part relied on must be designated as nearly as practicable. The pertinence of each reference, *if not apparent*, must be clearly explained and each rejected claim specified" Examiner does not believe this application raises to the level of "complex" especially knowing the Assignee's relative level of experience in the field of computer access models.

Anticipation is a question of fact. *In re King*, 801 F.2d 324, 231 USPQ 136 (Fed. Cir. 1986). The inquiry as to whether a reference anticipates a claim must focus on what subject matter is encompassed by the claim and what subject matter is described by the reference. As set forth by the court in *Kalman v. Kimberly-Clark Corp.*, 713 F.2d 760, 218 USPQ 781, 789 (Fed. Cir. 1983), *cert. denied*, 465 U.S. 1026 (1984), it is only necessary for the claims to "read on" something disclosed in the reference, i.e., all limitations in the claim are found in the reference, or 'fully met' by it. "Where, as here, a reference describes a class of compositions, the reference must be analyzed to determine whether it describes a composition(s) with sufficient specificity to constitute an anticipation under the statute. See *In re Schaumann* 572 F.2d 312, 197 USPQ 5 (CCPA 1978). (reciting from: *Ex parte Lee*, BPAI at 31 USPQ2d 1105)

Examiner without any relevant evidence to the contrary had determined that the Applicant's claims pending in the instant case were and are not patentable nor allowable over the prior art made of record. Applicant was charged with the duty to rebut and provide evidence in the contrary of the Examiner's assertion of the prior art. The statement of what a piece of prior

Art Unit: 2123

art can do does not provide any substantive response to how it explicitly differs from the claims that presented in the instant invention.

Examiner further addresses Applicant's position regarding the multiple rejections directed to claims. There is nothing precluding the assertion of multiple references against pending claims. In the instant case there were seven different references asserted. Examiner has made a *prima facie* case regarding the patentability of Applicant's claims as filed. Note that the level of skill is presumed to be at least one of ordinary skill. Applicant is presumed to have at least this level of knowledge of the art. The rejection was intentionally structured to recite 'clearly anticipated'. No more explanation was required presuming that Applicant was at least ones of ordinary skill level in the art. However, the Examiner did provide a detailed listing of relevant citations for each reference to help direct the Applicant to understand the depth and scope of their individual teachings.

As to the allegations of using a omnibus rejection, or piecemeal examination and use of a multiplicity of references, Examiner provides Applicant's representative with the following. Each claim is clearly anticipated by each and every reference asserted. On the face and with a minimal amount of diligence, Appellants' representative should have been able to ascertain the relevance of each and every reference. Examiner only provided a very small subset of all the references that anticipate (whether clearly or not) every claim as presented within Applicants' application.

To restate the obvious "examiner is not called upon to cite all the references that may be available, but only the best.." Examiner used only a subset of the "best" references since they

Art Unit: 2123

clearly anticipate all of Appellants' claimed limitations. Examiner did not cite "all the references that may be available", only five out of many more possible references. Specifically, Examiner did not cite any of the articles from a number of symposiums on role-based access or the military specifications that directly relate to the instant invention. A mere sampling of either family of specifications or articles would clearly anticipate all of the Applicant's independent claims and their dependencies. The breadth of which Applicant has drafted their claim language can be reasonably interpreted to be anticipated by many different publications and patents. Examiner provided only a reasonably small grouping of prior art that clearly anticipates both the instant invention and the claimed invention.

Claim 1, recites nothing more than storing an assignment of a member of a community to a first position in the community to generate a first relationship; automatically providing a manager of the first position with access privileges to records of the member based on the first relationship; storing an additional assignment of the member to a second position in the community to generate a second relationship; and during pendency of the additional assignment, automatically providing a manager of the second position with disparate access privileges to records of the member based on the second relationship. This is nothing more than associating which data files a specific user has access privileges to, allowing this relationship to be reassigned and providing different levels of access to different data based on the associations between users and data. As applicants have admitted, the feature of automatically providing...access privileges is well established in the prior art. In simpler terms, a standard well known and off the shelf access privilege setting scheme that

Art Unit: 2123

has been in existence for decades. An access control system based on users positions within an organization relationship to allowed data access and delegation of the access to that data is within the scope of this claim. The prior asserted explicitly teaches all the claim limitations as recited.

Examiner believes that Applicant has attempted to cover “user-role” or “role-based” access control for a distributed system, however have fallen far short of actually claiming any improvement in such a system. Again, these systems are well known and are herewith asserted as prior art teachings of such systems. Examiner has provided a reference in the rejection to show what is designed into a functioning RBAC (role based access control) system. (Workshop Summary from the Proceedings of the First ACM Workshop on Role-Based Access Control, December 1995, hereafter referred to as *Workshop*)

Applicant is solving the same problem with the same technology in the same manner as the prior art. There is not an inventive step when all that is claimed is that which is well known and inherent in the art. Applicant’s invention and the prior art asserted perform the same functions and operations with the same equipment. This teaching provides for different settings of access privileges for users, members and groups with affiliations between the user and the object or data. This includes delegation of access privileges and roles.

Within the prior art teachings, the privilege levels of users, members, groups or manager users can be changed. A manager user can be afforded access rights a one level to one set of data and also be afforded different access rights to a second set of data. Users can be afforded different access levels to different data within different or the same system. In general Applicants are

Art Unit: 2123

merely attempting to claim setting access privileges based on a business organizational chart where the access privileges can be changed and delegated. Applicant has vailed the standard RBAC, multilevel group, membership and user access privilege system in the cloak of business method by attempting to cloud the issues by highlighting labels attached to users within the hierarchy, such as a “manager”, and related “positions” within the organization that are afforded various access levels to information. This is merely setting labels to specific users. A manger is a user with different levels of access relative to others in the organization. The ability to transfer access or membership is built into security systems. In fact, in general most systems do not want this feature available to the user so that data may be compartmented and secured. There can be afforded no patentable weight when the distinction is merely a label or specific use for a well known method, system, apparatus or processes.

One implementing anyone of the prior art teachings would yield a system that would function as Applicant has claimed as inventive. Applicant is reminded that a recitation of the intended use of the claimed invention must result in a **structural difference** between the claimed invention and the prior art in order to patentably distinguish the claimed invention from the prior art. If the prior art structure is capable of performing the intended use, then it meets the claim. In a claim drawn to a process of making, the intended use must result in a manipulative difference as compared to the prior art. *In re Casey*, 152 USPQ 235 (CCPA 1967); *In re Otto*, 136 USPQ 458, 459 (CCPA 1963). The components and their operations, as taught within the prior art teachings are functional equivalents, identical in operation and provide inherent operations

Art Unit: 2123

that have an inevitable presence and are well known in the art. *In re Bond*, 15 USPQ2d 1566 (Fed. Cir. 1990), *In re Robertson*, 49 USPQ2d 1949 (Fed. Cir. 1999)

Applicant has not provided any effective argument as to any patentable distinction, improvement or unexpected result that might occur over the prior art teachings when Applicant's method of providing different access privileges to different users based on affiliations than that which are built into the prior art teachings. Applicant appears to believe the novelty is within the ability of the system to store and change data relating to providing changeable access privileges to different users with varying levels of access. This is merely using the well known tool of the trade for its specific purpose. The courts have held that "A reference anticipates a claim if it discloses the claimed invention such that a skilled artisan could take its teachings in combination with his own knowledge of the particular art and be in possession of the invention." *In re Graves*, 36 USPQ2d 1697 (Fed. Cir. 1995); *In re Sase*, 207 USPQ 107 (CCPA 1980); *In re Samour*, 197 USPQ 1 (CCPA 1978).

Claim Rejections - 35 U.S.C. § 102

17. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

- (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.
- (e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who

Art Unit: 2123

has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

18. Claims 1-21 are rejected under 35 U.S.C. § 102(b) as being clearly anticipated by Rabitti et al. or Baldwin or Demurjian et al. or Abraham et al.(903) or Howell et al. et al. or *Workshop on Role Based Access (1995)* and rejected under 35 U.S.C. § 102(e) as being clearly anticipated by Deinhart et al. or Barkley.

Taking claim 1, for example, Rabitti et al. and Baldwin and Demurjian and Abraham et al.(903) and Deinhart et al. and Barkley and Howell et al. et al. disclose:

Rabitti et al.: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies

Baldwin: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128

Demurjian et a.: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.

Art Unit: 2123

<p>Abraham et al.(903): Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.</p>
<p>Deinhart et al.: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.</p>
<p>Barkley: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.</p>
<p>Howell et al. et al.: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.</p>

A method of providing access privileges to records of members of a community, comprising

storing an assignment of a member of a community to a first position in the community to generate a first relationship;

automatically providing a manager of the first position with access privileges to records of the member based on the first relationship;

storing an additional assignment of the member to a second position in the community to generate a second relationship; and

Art Unit: 2123

during pendency of the additional assignment, automatically providing a manager of the second position with disparate access privileges to records of the member based on the second relationship.

As to claim 2, the method of Claim 1, wherein the manager of the second position has access privileges to records of the member is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7,

Art Unit: 2123

Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq., col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 3, the method of Claim 1, wherein the manager of the first position has access privileges to administrative records of the member denied to the manager of the second position is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3

Art Unit: 2123

Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903):** Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.:** Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley:** Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.:** Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 4, the method of Claim 1, wherein the additional assignment comprises a tern work assignment is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.:** Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin:** Title,

Art Unit: 2123

Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et al.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq., col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 5, the method of Claim 1, wherein the community comprises a business member comprises an employee of the business is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Caruso et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization

Art Unit: 2123

Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

Art Unit: 2123

As to claim 6, the method of Claim 1, wherein the records comprise personnel records of the member is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30,

Art Unit: 2123

operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

Claims 7, 9-19 are rejected based on the same reasoning as claims 1-6, *supra*. Claims 7, 9-19 claim the same limitations as claims 1-6 and taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled:1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in

Art Unit: 2123

Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

Conclusion

19. A shortened statutory period for response to this action is set to expire **3 (three) months and 0 (zero) days** from the mail date of this action. Failure to respond within the period for response will result in **ABANDONMENT** of the application (see 35 U.S.C. 133, M.P.E.P. 710.02, 710.02(b)).

20. Any inquiry concerning this communication or earlier communications from the examiner should be directed to William Thomson whose telephone number is (703) 305-0022. The examiner can be usually reached between 9:30 a.m. - 4:00 p.m. Monday thru Friday. Voice mail is checked throughout the day. Please leave a detailed message.

Art Unit: 2123

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Mr. Kevin Teska, can be reached on 704-305-9704. The fax phone number for this Group is 703-308-1396.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is 703-305-3900.

William D. Thomson

Patent Examiner
A.U. 2123
February 20, 2002



DR. HUGH M. JONES
PATENT EXAMINER
APT UNIT 2123